

11/22/99  
JC530 U.S. PTO

PATENT  
Atty Docket No. 66997.0102

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of:

Kathy Maida-Smith and Steven W. Engle

Appl. No.: (TO BE ASSIGNED)

Filed: November 22, 1999

Title: NETWORK SECURITY DATA MANAGEMENT SYSTEM AND METHOD

JC530 U.S. PTO  
09/444937  
11/22/99

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**NEW APPLICATION TRANSMITTAL**

Applicants are enclosing an executed provisional application for filing in the U.S. Patent and Trademark Office (PTO), including twenty-four (24) pages of specification and abstract, and nine (9) pages of informal drawings.

*This application is being filed without the filing fee under 37 C.F.R. § 1.53. Accordingly, applicants are believed to be entitled to a filing date based upon applicant's deposit of the attached specification, which is being filed under Certificate of Mailing § 1.10, with Express Mail #EL455184579US. Therefore, it is respectfully requested that a filing date of November 22, 1999, be granted this application. The filing fee will be timely filed.*

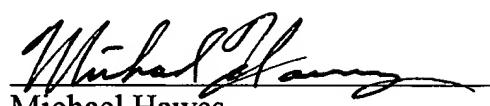
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Respectfully submitted,

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Date: November 22, 1999

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<b>STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) &amp; 1.27(c)) -- SMALL BUSINESS CONCERN</b>		Docket Number (Optional) <u>66997-0102</u>
Applicant, Patentee, or Identifier: <u>Maida-Smith, et al.</u>		
Application or Patent No.: <u>Unassigned</u>		
Filed or Issued: <u>Concurrently Herewith</u>		
Title: <u>Network Security Data Management System and Method</u>		
<p>I hereby state that I am</p> <p><input checked="" type="checkbox"/> the owner of the small business concern identified below.</p> <p><input type="checkbox"/> an official of the small business concern empowered to act on behalf of the concern identified below.</p>		
NAME OF SMALL BUSINESS CONCERN <u>Diversified High Technologies, Inc.</u>		
ADDRESS OF SMALL BUSINESS CONCERN <u>1350 NASA Road 1, Suite 105, Houston, TX 77058</u>		
<p>I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, D.C. 20416.</p> <p>I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:</p>		
<p><input checked="" type="checkbox"/> the specification filed herewith with title as listed above.</p> <p><input type="checkbox"/> the application identified above.</p> <p><input type="checkbox"/> the patent identified above.</p>		
<p>If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).</p>		
<p>Each person, concern, or organization having any rights in the invention is listed below:</p>		
<p><input checked="" type="checkbox"/> no such person, concern, or organization exists.</p> <p><input type="checkbox"/> each such person, concern, or organization is listed below.</p>		
<p>Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)</p>		
<p>I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))</p>		
NAME OF PERSON SIGNING <u>Kathy Maida-Smith</u>		
TITLE OF PERSON IF OTHER THAN OWNER <u>President</u>		
ADDRESS OF PERSON SIGNING <u>1350 NASA Road 1, Suite 105, Houston, TX 77058</u>		
SIGNATURE <u>Kathy Maida-Smith</u>	DATE	<u>11/16/99</u>